MICROENTERPRISE RESULTS REPORTING

OPERATIONS MANUAL

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INTRODUCTION

The *Microenterprise Results Reporting Operations Manual* is designed to guide USAID's MRR implementer through the annual reporting cycle. It is a reference for MRR's project manager and analysts that explains how to execute the project successfully, on time, and within budget. For example, it contains the detailed definitions used to classify USAID's microenterprise development projects; the yearly timeline and process for collecting mission and partner data; and descriptions of how the MRR website facilitates annual data collection. In addition, this manual contains several annexes, including the most recent MRR partner-level surveys and examples of correspondence. The technical documentation of the MRR database is available as a separate resource.

The MRR website was redesigned in 2009 to be easy to use, with clear and concise screens that follow a customized workflow based on the data the user needs to enter. The system also contains context-sensitive help and built-in intelligence that reviews data for common errors.

From time to time, changing legislative requirements, refinements of microenterprise development terminology, and enhancements in USAID programming require updates to the MRR surveys and system. The operations manual will be updated periodically to reflect these improvements when they have a material impact the process and timeline used to collect data.

PROJECT OVERVIEW

The **primary elements of the MRR project** include the following:

1. USAID Mission/Operating Unit data collection and review
2. USAID Implementing Partner data collection and review
3. Production of Annual Report to the U.S. Congress

Each element is described in more detail in the following sections of this manual.

TIMELINE

According to the current MRR contract, the project includes four tasks – A through D. Tasks A, B, and C correspond with the primary elements of the project, as listed above. Task D – the management and maintenance of the MRR website – is an ongoing task throughout the project, implemented with the support of a database administrator and software developer. A Gantt chart with additional details about the MRR project timeline can be found in Annex E.

DATA INPUT SOURCES

USAID Field Missions

USAID Missions are responsible for reporting data on funding that pertains to microenterprise development. They report primarily on the most recently completed fiscal year, but also on planned obligation amounts for the subsequent fiscal year (when possible). Mission data include allocation and obligation information, implementing mechanism information, implementing partner name and contact information, and Mission contact information. When allocations for microenterprise development cannot be clearly distinguished from other program funds, MRR requests that funds be “pro-rated” to reflect the estimated percentage of the funding that supports microenterprise development. Missions are also requested to respond to two questions related to the 2004 microenterprise legislation: whether there is evidence of a correlation between poverty and race/ethnicity within the country (this question is answered when the Mission profile is first created) and whether a particular activity works to identify and assist victims of trafficking and other forms of exploitation.

Primary Mission contacts may change from year to year. Although MRR works closely with USAID Missions to ensure that Mission contact information is up to date and accurate, unreported turnover in Mission contacts still occurs. The MRR team should verify the current list of active Missions and Washington Operating Units that need to report to MRR with the MRR COTR in the Office of Microenterprise Development prior to Mission data collection. For Missions that are known to have high staff turnover, such as Iraq, Sudan, or Afghanistan, or for Missions identified by the MRR COTR for additional follow-up, the MRR team can contact country desk officers to confirm Mission contacts. A current list of Mission contacts can be found in Annex F.

The MRR team should also consider special circumstances and requests by USAID Missions and Operating Units. For example, in FY 2008 and FY 2009, the Regional Development Mission/Asia (RDM/A) requested that MRR not contact their implementing partners directly to collect data. Instead they asked that Mission staff be provided with the partner data request and login capability to complete the partner survey.

USAID/Washington Offices

Various USAID/Washington offices provide funding to microenterprise development activities and must also report to MRR. They are asked to provide the same data that the USAID field Missions are asked to provide. For the FY 2010 report, MRR sought information from the following offices: the Office of Agriculture (AG), the Office of Development Partners (ODP), the Office of Microenterprise Development (MD), the Office of Democracy and Governance (DG), the Office of Environment and Science Policy (ESP), the Office of Information and Communications Technology (ICT), the Office of Natural Resources Management (NRM), the Office of HIV/AIDS (OHA), the Office of Population and Reproductive Health (PRH), and the Office of Women in Development (WID). MRR classifies funding from these entities as Central Funding. Each year, the MRR COTR should review the list of USAID/Washington Offices to determine if there are any additional offices that need to report to MRR or any changes to existing offices.

Implementing Partners

Institutions that have been designated by USAID Missions as recipients of USAID obligations are considered Implementing Partners, or Partner Organizations. These partners are responsible for entering program data on their microenterprise-related activities. Microfinance institutions (MFIs), institutions providing enterprise development (ED) services, and policy advocacy institutions enter results data on their activities. MRR requests that each partner report on the entire activity to which USAID funds contributed.

Implementing Partners are contacted directly via email based on the contact details received from Mission and USAID/Washington personnel.

In the case of MFI partners, the USAID funds often go to apex institutions. These apex institutions are responsible for reporting data from their sub-recipients so USAID can obtain specific lending data. An explanation of the distinction between apex and retail institutions is provided in the Partner Data Collection section of this manual.

*Note that the MRR Team is planning to work with USAID's MD office during the FY11 reporting year to substantially update and revise the Partner-level survey.

MRR Staff

The data collection features of the new MRR online database have been operational since the FY 2009 data collection cycle. As such, all data reporters are encouraged to submit their data online directly. However, when necessary, the MRR Team facilitates the data collection process by offering to enter data on a reporter's behalf. In this case, the data are submitted to MRR by email or fax. The MRR staff members also review data for data entry errors and follow up with data reporters to resolve any data verification issues.

ORGANIZATION OF THE DATABASE

The current database has five tabs –**Funding**, **Implementing Mechanisms**, **Partners**, **Questionnaires**, and **Reports**. This section provides a brief explanation and/or some tips for each tab. Note that there are also four useful links at the top of each page: Home, My Profile, Help, and Logout.

Funding

Funding is reported at two levels – first the broader allocation level, and then the obligations made under each allocation. Tip: When viewing allocations, clicking on the pencil icon next to an allocation displays more detailed information and allows for data input and editing. This icon serves this role throughout the website.

Implementing Mechanisms

The implementing mechanism is usually a contract or a cooperative agreement. This is the way each project is classified. Tip: Clicking on the "+" icon next to a mechanism displays additional detail. This icon serves this role throughout the website.

Partners

This is the page to add, edit, and delete partner information. Below "View Partners," note the "View Bureaus/Missions" link. This is the link to access and update Mission contact information. This page initially loads with an empty list, and requires the Admin user to provide search parameters in order to populate the list. Entering an asterisk (*) in any search field will provide all results available. This feature works the same throughout the website.

Questionnaires

This page is used for assigning and viewing questionnaires, as well as tracking their progress, and editing them when necessary. This page also loads blank for Admin users until search parameters are provided. Below "Manage Questionnaires," note the "View Legacy Questionnaires" link. This is the link to access data reported prior to the current reporting year.

A note regarding Legacy Questionnaires: At the end of the FY 2009 reporting year, all data collected prior to the completion of the MRR rebuild (1996 – 2008) was migrated to the new platform. These legacy data are now available to the MRR Team and reporting partners. As this feature is rather new, the FY 2011 MRR Team may need to track functionality issues and work with the software development firm to make adjustments as necessary. To access the legacy data, the MRR Team uses the “View Legacy Questionnaires” link. The legacy questionnaires are searchable by Questionnaire type, Year, Funding Office, Activity Location, and Partner Name.

Reports

Reporting is one of the newer features of the database, and various reports can be auto-generated. They are created as Excel files and can maintain a link to the database so that when saved to any personal desktop, the report will repopulate with current data each time it is opened.

Built-In User Assistance

With the new design of the MRR database, the system has become much more user-friendly. The MRR database now includes Frequently Asked Questions (FAQs), Help pages, Screen Assistants, and question-specific Tool Tips. The link to the FAQs page is available at the bottom of each page, the link to the Help pages is available at the top of each page, the Screen Assistants appear on the right-hand side of the screen, and the ToolTips appear when the cursor is hovered over any of the green question marks beside the data fields.

DEFINITIONS

Various terms in the MRR database have specific definitions. USAID’s current **definition of a Microenterprise** as per USAID’s Automated Directives System (ADS) 219 on Microenterprise Development reads as follows:

“A very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees.”

The inclusion of crop production activities was added in January 2008, so it may still be necessary during FY 2011 data collection to remind Missions of this and verify that they are including these types of activities in their reporting to MRR.

One additional term that often requires explanation during the reporting process is “**ongoing obligation**.” Ongoing obligations are defined as obligations reported to MRR in a previous fiscal year (only 1 or 2 years prior) for a mechanism that continues to be active in the current reporting fiscal year. For example, if a partner received funding in FY08 and/or FY07 for a mechanism that continued to be active in FY09, the partner would be expected to report the results of that activity for the FY09 reporting period, even though the project did not receive new funds in FY09. Implementing partners are sometimes confused about whether they need to report on ongoing obligations.

Further definitions are provided in the sections of this manual to which they pertain.

MISSION DATA COLLECTION – FUNDING INFORMATION

Soon after the end of USAID's fiscal year, the MRR team begins collecting data from USAID Missions for the fiscal year that has just ended. The Missions are also asked to report projections for the new fiscal year that has just begun.

The four main areas for Mission reporting include the following:

1. Mission Profile: Mission contact information (to be reviewed and updated as needed)
2. Allocations and Obligations: Details on funding (reporting fiscal year and projections)
3. Implementing Mechanisms: Details on contracts, cooperative agreements, grants, etc.
4. Partners: Contact information for implementing partner organizations

Preparing to Start a new MRR data collection cycle – Mission data

Before Mission data collection can begin, the MRR Team makes various preparations:

- The database must first be prepared to accept new entries for the Fiscal Year by altering a file on the server that tells the system which year is current. This must be performed each year. To do so, the value [MicroenterpriseResultsReporting.CurrentFiscalYear] must be adjusted in the web.config file on the web server, and the MRR database administrator is usually responsible for this task. This is a global update for all data collection and does not have to be repeated for Partner data collection.

- The list of reporting Missions/Operating Units must be reviewed with USAID each year to determine if there are Missions/Operating Units that need to be added or removed.

- The Mission launch email is drafted and approved by USAID. (See sample emails in Annex A.)

- If USAID wants to add or change any of the MRR questions, these changes must be communicated to the database development firm well in advance of the new data collection cycle so that they can be staged and tested.

- The MRR Team must review the rest of the MRR website to look for any other changes that may be necessary. It is particularly important to login as a Mission and view the **Mission dashboard page** to make sure it is current and relevant, because this is the first page that Missions see when they login to MRR.

Launching Mission Data Collection

Mission data collection is launched when the MRR Team sends an email to each Mission alerting the Missions that it is time to report to MRR. The email provides reporting instructions and guidance for using the online database, including each Mission contact's username, which is automatically added at the end of the email when the email is sent from the MRR database system. **To send the initial email** to all reporting Missions at the start of each data collection cycle, login to the database (as an administrator) and click on the "Partners" Tab. Once there, click the green link called "View Missions/Bureaus," which is located beneath the "View Partners" title near the top of the page. Search for the complete list of Missions/Operating Units by typing an asterisk (*) in the "Bureau/Mission name" field, set the type to "Mission," and check the "Display primary contact" box. After clicking "Search," you will have the opportunity to select all of your Search results. Cross reference with the current list of Missions as verified by USAID and un-check any that should be removed. Once you have selected all necessary Missions/Operating Units, click the "Send Email" button near the top of the page. You will then see a screen where you can copy and paste the subject line and the text for your email, and then click “Send” near the top right corner of the screen. Note that the greeting line should be general (ex: Dear USAID Missions and Operating Units). However, the username associated with each individual email address will auto-populate at the end of the email as follows: “Your MRR username is XXXXX”.

The MRR Team tests Mission launch email functionality each year using the MRR staging site (http://64.65.47.214). **To do so** go to the staging site, select a few Missions, and change the associated email addresses to the addresses of the MRR Team members. Perform the steps listed above and make sure that each email reaches the selected MRR Team recipients, that the text shows up correctly, that a unique username has auto-populated in each message, and that the MRR inbox has been cc-ed on the message (which should happen automatically). To be sure that the message can also go through properly to an “@usaid.gov” email address, conduct one more test using the contact record for the current MRR COTR, and alert him/her to the fact that you are conducting this test.

To ensure a 100% response rate from the list of reporting Missions, MRR finds it helpful to maintain a Mission reporting status tracker. As an example, the FY09 tracker included the categories of No Response, In Progress, Completed, Verified, and Nothing to Report. The Reports tab of the website provides two separate reports to track the status of Mission data entry: The “Mission Detailed Status” and “Mission Summary Status”, which can be found under the heading “Data Verification for USAID Missions.”

Mission Profile

All information regarding USAID users who report funding data to MRR is accessible through the Mission Profile. This includes individual country and regional Missions, as well as USAID Bureaus and Washington Offices or Operating Units. Generally the USAID Regional and Functional Bureaus do not report to MRR because the management of obligations is performed at the Mission or individual Office level. However, sometimes it is necessary for a Bureau to report. Historically this was achieved by creating a “Mission” level account for a Bureau user. These accounts still exist in the newly designed MRR. For example, you will find a Mission account called “EE Bureau” and you will also find a Bureau account called “EE”. The new MRR now allows a “Bureau” level user to create a user account, log in and report. It is up to the MRR team to decide how to handle the Bureau level data entry, but keep in mind that it may be necessary to migrate some data from the old “Mission Bureau” accounts to the new “Bureau” accounts in order to more easily run historic data reports.

The Admin user can access individual profile information for Bureaus, Missions, and Washington Offices through the Partners Tab. Under the heading “View Partners”, select the link for “View Bureaus/Missions”. After searching for the Operating Unit you want to edit, you can select the pencil icon for that Operating Unit to view the profile information, including the list of contacts. Each Operating Unit has one primary contact who will receive all email communication sent from the MRR system. Missions are asked to review and update their user account information, including the designation of the primary contact.

Allocations and Obligations

Missions have three basic responsibilities for MRR funding data entry each year:

(1) Review and update “in progress” entries from the prior year, including entries that were projections last year but are now actual obligations and entries that were still “pending agreements” at the time of reporting for the previous year but have since been finalized;
(2) create and enter new funding for the current reporting period; and

(3) create and enter new projects for the next fiscal year, if known.

Missions must decide how to break up the funds they report based on the origin of funds, the funding account from which they received the funds, and whether or not the funds were "pro-rated" to reflect a microenterprise component of a larger project. This task can be a challenge for Missions because they are not normally required to report on their funds based on all of these criteria.

Next, for each "Allocation" entered it is necessary for Missions to further divide up the funds by indicating the "Obligation" amounts that went to specific implementing mechanisms. These obligations are further sub-divided according to the varying Program Elements and Technical Areas for which the funds were used. (*Note that the MRR Team is planning to work with USAID's MD office during the FY11 reporting year to update and revise the Technical Areas associated with MRR.) If funds being reported were not associated with an implementing mechanism, Missions can report these funds as non-project "Microenterprise Support."

Missions have the opportunity to set the "Data Entry Status" for both allocations and obligations to "Completed" after filling in all required fields. Data entry for an allocation can only be set to "Completed" if an associated obligation record has been created for all funds. Any allocation and obligation projections entered for future fiscal years should not be set to complete until that future year becomes the current reporting year.

When creating obligation records under an allocation, Missions have four choices:

(1) Obligate funds to an existing implementing mechanism
(2) Obligate funds to a new implementing mechanism
(3) Obligate funds to a "pending agreement", which is an placeholder for a mechanism that has not yet been signed; or
(4) Obligate funds as "Microenterprise Support" funds.

On the obligation data entry screen, Missions can either select an existing mechanism from the drop down menu (based on the mechanism number, partner name and partner country of operation), or they can create a new mechanism.

Implementing Mechanisms and Partners

A Mission user can create a new mechanism by using the "Implementing Mechanisms" tab or by selecting the option to add a new mechanism on the obligation screen. Here the Mission must enter a mechanism number and choose an existing partner and country of operation from drop down menus, or create a new partner in the database. Creation of a new partner can be accomplished from the implementing mechanism screen or by using the "Partners" tab. Each individual partner is distinguished by the combination of its name and country of operation (for a given project). Thus, for example, DAI Cambodia is a separate partner from DAI Haiti. "Worldwide" is chosen as a country of operation when a project is being implemented in more than one country simultaneously.

As part of the partner data entry form, Missions must enter contact information for one or more individuals who work on the project(s) reporting to MRR. Having complete and up-to-date partner contact information is a very important part of the data collection process, as it makes the partner-level data collection possible. The MRR Team should work with Mission reporters to verify all partner contact information.

To complete implementing mechanism and partner data entry, Missions must set the "Data Entry Status" to "Completed" after filling in all required fields. In order for a partner to appear on the drop down menu for implementing mechanism creation, it can still be “in progress” but it must at least have a name and country of operation entered.

Verification of Mission Data

MRR reviews all Mission data to clarify any missing data and to ensure data accuracy. Upon notification that a Mission has completed its reporting requirements, or when MRR is able to determine that a Mission has completed most/all data entries, MRR sends a data verification email to the Mission staff member who entered the data. A “verification report” generated by the MRR database administrator is attached in Excel, and the email text points out any specific questions related to that report. MRR’s follow-up communications should occur as soon as possible after data entry so that all the issues related to MRR are fresh for the Mission. Occasionally, MRR has found that follow-up communications with Missions can reveal additional obligations that should be reported.

Microenterprise programs may span several Mission technical offices and involve multiple personnel, which may require a fair amount of coordination on the part of the Mission reporter. However, MRR has found it to be important to communicate directly with the person who has entered the data and who bears the responsibility for reporting the Mission’s microenterprise funding to USAID/Washington correctly (the primary contact).

A sample verification check list is provided as Annex C, and a few items of particular importance are listed here:

- **Pending Agreements:** Part of the data review process includes clarifying pending obligations from previous fiscal years. Missions are asked to confirm or provide the details of these obligations and specify the implementing partners, which were unknown at the time the funding was initially reported.
- **Pro-Rating:** Missions are asked to “pro-rate” reported funding when microenterprise development is a component of a larger activity. Only the portion of USAID assistance that can be attributed to microenterprise development should be reported through the MRR system. A field in the allocation data entry screen allows Mission personnel to indicate if they have used “pro-rating” to determine the amount reported. A related comment field allows space for the Mission to provide an explanation of how they have “pro-rated” the funds. MRR reviews these data and can follow up in any instances in which the data associated with pro-rating seem incorrect or unclear.
- **Over-writing Previous Years’ Data:** Occasionally, MRR has found that a Mission has attempted to enter the current year data by over-writing data from a previous year. Double check that this has not happened by referring to the records in the previous year’s annual report.
- **Partner Information:** Be sure that partner information is complete and up to date, as this is critical for MRR’s partner-level data collection.
- **Funding Projections for Future Years:** Projected microenterprise obligations are considered rough estimates and do not need to be verified. These numbers may be used by the Agency for discussion purposes, and MRR makes no claim as to the validity of these estimates.
- **Data from Central Offices:** MRR often enters Central Office funding data into the database on behalf of these offices. In particular, MRR has provided this service to the Office of Microenterprise Development (MD) and Office of Development Partners (ODP). The data sometimes require clarification so that they can be categorized correctly.

The Reports tab of the MRR website provides two separate reports that can be used when verifying Mission data: The “Mission/Bureau Obligations” and “Mission/Bureau and Partner Contacts”, which can be found under the heading “Data Verification for USAID Missions”.

All verifications should be completed prior to data collection from the implementing partners.

A note on Pending Agreements: As a new step in the MRR process for the FY11 reporting year, the MRR Team will follow up a second time with any Missions that reported “Pending Agreements” for FY11. This follow-up should occur approximately in April/May so that updates can be captured in the Annual Report to Congress. However, no new partner-level surveys should be assigned at this time, as these activities were not active during FY11.

PARTNER DATA COLLECTION – PROJECT RESULTS

Note that the MRR Team is planning to work with USAID’s MD office during the FY11 reporting year to create a single streamlined survey (instead of the ED/MFI/Policy breakdown) for each implementing mechanism that needs to report to MRR. This manual does not yet reflect such updates, but a new draft will be compiled when/if these updates are implemented.

The second phase of MRR data collection involves contacting all relevant implementing partners for information on project results. When USAID’s implementing partners for the current reporting fiscal year have been identified through Mission data collection, MRR assigns one or more questionnaires to each partner according to the activity type(s) reported by the Missions (ED, MFI, Policy). Note that questionnaire assignments include “ongoing obligations,” defined above to mean active projects that did not receive funding in the current reporting year, but did in the previous year or two.

Preparing for Partner Data Collection

In preparation for partner data collection, the MRR Team takes the following actions:

- Determine the list of partners eligible to receive each type of questionnaire.
- Revise survey question wording as necessary.
- Update Word version of surveys to reflect revised question wording. Update French and Spanish Word version as well (as needed).
- The database administrator must enter the appropriately updated email text and subject lines into the database. **To do so**, login to the server that holds the MRR live site (64.64.47.223). Then, go to the folder (D:\wwwroot\mrr-www\priv\EmailTemplates) and update the files. Auto-population of first name and user name doesn’t require any additional manual work, and the email should also be auto-programmed to copy the MRR inbox.
- Test partner-level email notification system. Note that it works differently than the Mission-level email – when you click “Assign” in the partner-level interface, it immediately assigns the questionnaire(s) and sends the associated notification email(s): On staging site, manually alter email address of test partner to MRR team member’s email, assign survey(s) to test partner, and then review test email (look to make sure text is displaying properly and that data is auto-populating correctly); no need to change the test email address back afterwards. Ask database administrator to refresh the staging site if you need it to match the live site.

- Determine which countries/projects should receive USAID Poverty Assessment Tools (PAT) implementation questions.

Assigning Questionnaires

Questionnaire assignment can be done using the MRR database through the Manage Questionnaires page by clicking on one of the survey types next to “Assign Questionnaires”.

Because MRR collects data after the current reporting fiscal year has ended, it is possible that a project being surveyed has already closed. Partners are often under the impression that they do not need to report on a closed activity. However, this is not the case, and MRR encourages partner institutions to report to the best of their ability. Using FY 2010 as an example, questionnaires should be assigned to all projects with an end date of 10/1/09 or later and a start date of 9/30/10 or earlier. As a last resort, the survey includes a “no data to report” option.

As mentioned above, data on centrally funded activities are sometimes entered in the MRR database by the MRR Team.

Collecting Data from Implementing Partners

Using the contact details provided by the Missions, MRR assigns questionnaires directly to the implementing partners, along with an email providing instructions (see Annex A). As referenced above, MRR gathers data according to three activity types: Financial Services/Microfinance (MFI), Enterprise Development (ED), and Policy/Enabling Environment (Policy). Information specific to each activity type is provided below. When a partner logs in to the MRR website, they see a dashboard. Note that the link above “Welcome to Microenterprise Results Reporting (MRR)” is the way for partners to access their past years questionnaires.

Starting in FY 2007, questions have been added to the MFI survey and the ED survey regarding the implementation of **USAID’s Poverty Assessment Tools (PATs)**. These questions should be assigned to partners who were obligated $100,000 for microenterprise development activities in the reporting fiscal year in any of the PAT countries. For ongoing programs, it is not as easy to determine whether or not they should receive a PAT questionnaire. In the past the MRR team has examined all funds obligated to the partner during the life of the project to determine if they have been obligated the $100,000 threshold. The MRR and PAT COTRs should be consulted to make this determination in the future. As of the publication of this operations manual, PATs have been developed and certified for 38 countries: Albania, Azerbaijan, Bangladesh, Bolivia, Bosnia and Herzegovina, Cambodia, Colombia, East Timor, Ecuador, El Salvador, Ethiopia, Ghana, Guatemala, Haiti, India, Indonesia, Jamaica, Kazakhstan, Kenya, Kosovo, Liberia, Madagascar, Malawi, Mexico, Nicaragua, Nigeria, Nepal, Paraguay, Peru, the Philippines, Rwanda, Senegal, Serbia, Tajikistan, Tanzania, Uganda, Vietnam, and West Bank.

FINANCIAL SERVICES/MICROFINANCE DATA

Microfinance refers to the provision of financial services to microenterprises and to poor and very poor households. Microcredit is the most visible and well-known microfinance product. Other equally important financial services include savings and deposit services, insurance, and remittance services.

The most important distinction in MFI data collection is whether a reporting partner identifies itself as an Apex institution, a Retail institution, or Both. Apex and Retail institutions are defined as follows:

Apex Institution (Wholesaler): An apex institution receives funding from USAID or from another USAID implementing partner and disperses part or all of that funding to one or more other institutions (called retail institutions). Apex institutions are only required to complete the first four questions on the MFI questionnaire and then list their sub-recipient(s) that received support in the form of **commodities**, **guarantees**, **direct funding**, and/or **technical assistance**. Sub-recipients may receive multiple types of support from an apex institution. Apex institutions are then asked to complete an MFI questionnaire on behalf of each of its sub-recipients.

Retail Institution: A retail institution refers to an institution that receives funding from USAID directly or from an apex institution and delivers products or services directly to clients. Retail institutions are asked to complete the entire MFI questionnaire.

It is possible that a partner may serve as both an apex and a retailer. The current MRR database will display the appropriate questionnaire(s) to fill out when the option of "**Both**" is selected.

The MFI questionnaire used in the FY 2010 reporting period can be found in Annex B.

MFI Data Review and Cleaning

MRR reviews data to ensure that reporting partners have correctly understood the questionnaire and to double-check that irregular data are not the result of a typo or other data entry error. For MFI, MRR examines the following key data points:

- **Average Loan Size:** A comparison of total loan value and total loan count to ensure that the average loan size is less than $5,000
- **Loan Loss Rate:** Examination of projects reporting a loan loss rate greater than 10%
- **Maximum and Minimum Loan Size:** Neither should be over $5,000, and minimum loan size should not be greater than maximum loan size
- **Percent Portfolio at Risk (PAR):** Examination of projects reporting a percent PAR greater than 25%
- **Percent Rural Clients:** Examination of projects reporting less than 1%
- **Percent Women Clients:** Examination of projects reporting less than 1%. This includes women borrowers and women savers, both of which are data points that MRR collects.
- **Percent Youth Clients:** Examination of projects reporting less than 1%. Youth is currently defined as 15-24 years old.
- **Operational Sustainability and Financial Sustainability:** By the nature of the calculations involved, percent operational sustainability must be greater than percent financial sustainability. Note, however, that in the FY 2009 reporting period the MRR team had an exchange with a reporting partner from the Philippines who indicated that their reports where the two figures were equal were indeed accurate.
- **Savings data:** Check that savings data is present – including number of savers and amount of savings.
- **Poverty Loans:** Examination to ensure that poverty loan count (or value) does not exceed total loan count (or value). Also, examination to ensure that the average poverty loan value does not exceed the defined poverty loan threshold (by region).

A year-on-year data comparison across all data fields can also be conducted if a partner has reported more than once.

Beginning in FY 2007, partner institutions were given the option of reporting financial records in local currency or USD. If reporting in local currency, partners are also asked to provide the exchange rate to USD at the partner's fiscal year end and the source of the exchange rate.

In addition to reviewing reported data, MRR also makes an effort to follow up with non-respondent partners that received significant funds in the current reporting fiscal year. When possible, MRR should also attempt to follow up with non-respondent partners who reported high total loan value and/or total loan count in the previous reporting fiscal year.

ENTERPRISE DEVELOPMENT DATA

Enterprise Development (ED) refers to a wide range of primarily non-financial services that enhance the competitiveness of sectors characterized by large numbers of micro and small enterprises, improve the contributions of such firms to the overall growth of the sector, and expand the benefits accruing to poor entrepreneurs owning or operating such businesses. ED activities may improve the productivity of individual firms, develop the commercial market for business services, create efficiencies through improved linkages, or expand access to markets.

Partners completing an ED questionnaire are also asked to list their sub-recipient(s), if any, that received support in the form of **direct funding** and/or **technical assistance**. Unlike the MFI survey however, there is no additional ED questionnaires assigned for sub-recipients.

The ED questionnaire used in the FY 2010 reporting period can be found in Annex B.

ED Data Review and Cleaning

MRR reviews data to ensure that reporting partners have correctly understood the questionnaire and to double-check that irregular data are not the result of a typo or other data entry error. For ED, MRR examines the following key data points:

- **Number of Employees / Number of Microenterprises:** As defined for MRR, a microenterprise should not have more than 10 employees (including the owner). MRR verifies that both data points have been reported and examines the ratio. When the ratio exceeds 10:1, MRR requests an explanation from the partner. Common explanations include employment of seasonal workers for agricultural activities, or that the partner is a cooperative.
- **Percent Women Clients:** Examination of projects reporting less than 1%
- **Percent Rural Clients:** Examination of projects reporting less than 1%
- **Percent Youth Clients:** Examination of projects reporting less than 1%. Youth is currently defined as 15-24 years old.
- **Percent of Clients with Poverty Loans:** Examination of reported percentages. This data point is considered the poverty loan proxy used to estimate the percent funds benefitting the very poor. As of the FY 2009 Annual Report to Congress, USAID indicated that it would stop reporting these data to Congress.

A year-on-year data comparison across all data fields can also be conducted if a partner has reported more than once.

In addition to reviewing reported data, MRR also makes an effort to follow up with non-respondent partners that received significant funds in the current reporting fiscal year. When possible, MRR should also attempt to follow up with non-respondent partners who reported a high total number of microenterprises assisted and/or total number of owners/employees in the previous reporting fiscal year.

When referring to legacy data, note that ED was referred to as Business Development Services (BDS) prior to FY 2006 and included the distinction of BDS-Facilitator or BDS-Provider.

POLICY/ENABLING ENVIRONMENT DATA

Policy refers to activities focused on improving policy and the enabling environment for microenterprises and microfinance institutions. The policy questionnaire and associated policy data receive the least amount of attention in the MRR project. The questionnaire is relatively short, and no key data points specific to policy are required in the Annual Report to Congress. Policy data are reported, however, in the MRR Methodology & Statistical Annexes document submitted by MRR to USAID.

Partners completing a Policy questionnaire are also asked to list their sub-recipient(s), if any, that received support in the form of **direct funding** and/or **technical assistance**. Unlike the MFI survey however, there is no additional Policy questionnaires assigned for sub-recipients.

The Policy questionnaire used in the FY 2010 reporting period can be found in Annex B.

MRR ANNUAL REPORT PRODUCTION

Following the completion of all data collection and review, the MRR Team produces the Annual Report to Congress. The report is guided by 12 reporting requirements, as found in the microenterprise-related legislation. (See Annex D for an overview of the legislation.) For this reason, the report takes on a standard format with minor adjustments each year. However, although the format is relatively consistent from one year to the next, it is sometimes helpful to create a new Word document when drafting the report instead of writing over the old one. When the report is written over multiple times, it is prone to formatting mishaps.

In recent years, a member of the MD Office (Mr. Don Sillers) has drafted or edited sections of the report pertaining to poverty data. This has included information on the poverty lending proxy and the poverty assessment tools (PATs). The MRR Team must also coordinate with USAID Development Credit Authority (DCA) for additional relevant data collected by that office. The MRR Team should share a draft of the report with the COTR prior to the June 30 deadline so as to get feedback.

The tables in the report are produced by the MRR team's database administrator. Most if not all of the necessary queries should be in the current version of the database, available to the database administrator. When tables refer to one or more previous years of MRR data, it is customary for the MRR Team to pull the numbers directly from the previous year's Annual Report. This is due to the fact that the database is always live and all years are subject to change, so it is easier to work from a consistent snap-shot in time.

Hard copies and electronic copies of the FY 2007-2010 Annual Report and Methodology & Statistical Annexes are available for the MRR Team's reference. Earlier years are also available, most readily on the MRR website (www.mrreporting.org), but recent years will be most helpful and relevant to the FY 2011 MRR Team.

As mentioned above, the deadline for submitting the report to the MRR COTR in USAID's MD office is June 30. After this deadline, the report goes through USAID's clearance process. The MRR Team should be prepared to answer questions about the report as needed. Once the report has been approved, it is disseminated in the following ways:

- **Print:** Hard copies can be printed by the USAID print shop or an outside vendor. When working through the USAID print shop in recent years, the MRR Team has prepared the document for printing and sent the files to Mr. Gerry Gagne. The COTR must fill out a print request form for the order to be processed. In FY 2009, 150 copies were printed. In FY 2010, MRR obtained printed copies (150) from CopyRite Printing at 1250 Eye St NW.

- **Online:** For online dissemination, the MRR Team prepares a 508-compliant PDF of the report. Essentially, this is a version of the report that can be read out loud by Adobe software for the benefit of people with disabilities. The process involves inserting "Alt Text" to be associated with images, graphics, and tables as needed. Once the document has been made 508-compliant, it is posted on the MRR website by the MRR Team, posted on microLINKs by the KDMD Team (currently managed by The QED Group, LLC), and posted on USAID internal and external websites by USAID. Finally, the PDF is also put on the USAID DEC, either by USAID or the MRR Team. Note that in FY10, USAID instructed the MRR team not to post the report on the MRR website. (We are not sure why.)

The microLINKS project also produces the Connections newsletter, which announces the MRR Annual Report each year. For this process, The MRR Team must submit a summary document of key findings and a short announcement blurb for the newsletter, which must first be approved by the COTR. MRR may also make other announcements in Connections at the direction and/or with the approval of the COTR.

The final deliverable that the MRR Team produces each year is the Methodology & Statistical Annexes document. The methodology section provides an overview of the reporting year's data collection process and highlights any updates or changes. The annexes are a series of tables that present various segments of the data collected. Once again, these tables are generated by the MRR database administrator, and the queries should all be present. Two of the annexes – Annex A and Annex B – are first generated at the time of the Annual Report production, as they are included in the report each year. The Methodology & Statistical Annexes document is made available in PDF on the MRR website. A limited number of hard copies are also produced, primarily for the reference of the MRR Team and members of the MD Office. In FY 2010, 15 copies were printed, and the MRR Team worked with the same outside vendor as above for the printing.

ANNEXES

Annex A	Sample Emails
Annex B	Surveys
Annex C	Mission Verification List
Annex D	MRR Background and Legislation
Annex E	Gantt Chart
Annex F	Mission Contacts List

ANNEX A: SAMPLE EMAILS

The MRR database provides an email distribution system, which is helpful for mass mailings. MRR's database administrator can insert the email text for the current year into the database. The email will automatically include the recipient's username. MRR has set up the system to automatically send a copy of these emails to the MRR Outlook inbox so as to have a record of the communication and to facilitate additional follow-up when necessary.

Sample emails from FY 2009 are included below for reference. The Team may edit/change all email communication as appropriate to the given data collection year.

1. FY2009 Mission "Heads Up" Email

Greetings from the MRR Team!

You are receiving this email because you have been identified as the primary contact at your Mission/Operating Unit to report your FY 2009 microenterprise obligations to MRR. If you are not the correct contact, please email mrr@mrreporting.org so that we may update our records.

As the FY 2009 MRR mission data collection cycle is expected to commence shortly, this notification is to remind you of some key pieces of information to help you prepare for this process:

- **Obligations and allocations** for microenterprise development activities funded during the FY09 reporting period (10/1/2008 – 9/30/2009) and any planned obligations/allocations for FY 2010.

- **Implementing mechanism** information including the mechanism number, type (contract, cooperative agreement, etc), start/end dates, partner name, and additional questions about the mechanism derived from Microenterprise legislation.

- **Implementing partner information** including current individual contact information (can be a COP or other person knowledgeable about the referenced USAID-funded activity to complete any relevant questionnaires assigned to the partner), partner type (NGO, consulting firm, bank, etc), international network affiliation, and country of operation.

- **USAID revised its definition of a microenterprise in FY 2008 per ADS 219.** The current definition now includes crop production activities and reads as follows: "A very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. **Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees."**

You may have already entered most of this information during the FY08 reporting period as projections and therefore you would only need to edit these records to reflect the most current information you have available.

Your individual account information to log into the MRR website to report your data will be sent to you separately in the coming weeks. We look forward to working with you over the next few months to ensure that the requirements of the FY 2009 reporting cycle are met. Stay tuned for more details!

Best regards,

The MRR Team

2. FY2009 Mission Notification and Instructions Email

Dear USAID Mission/Operating Unit,

The time has arrived to report your FY 2009 microenterprise obligations through Microenterprise Results Reporting (MRR), USAID's official system for the collection of microenterprise budget data and program results from USAID implementing partners. Please log in to the MRR website at www.mrreporting.org and click on "Missions & Bureaus Login Here" to report your data by December 11, 2009.

Please take note of these key reminders and helpful tips for the FY 09 reporting cycle:

- The definition of a *microenterprise* has been revised effective January 2008 as per ADS 219 to include crop production activities, previously excluded from the scope of the definition.

- Each country Mission is responsible for reporting the Food for Peace P.L. 480 funded programs with microenterprise development components in their countries.

- The number of countries with USAID-certified Poverty Assessment Tools (PATs) has increased from 25 in 2008 to 28 in 2009. Please visit www.povertytools.org for a complete list of countries where the PAT is available to date and to determine whether the implementing partners in your country will need to implement a PAT for the FY 2009 reporting period.

GENERAL REPORTING GUIDANCE:

Log in to MRR with the username provided at the bottom of this email and your personal password. If you do not remember your password, or if you are logging in to MRR for the first time, you will need to click on the link to "Recover or set up my username and password". Simply enter your username provided below and click on Submit. You will be sent a message to the email address we have on file for you. This message contains a link that will allow you to reset your password. Once you set up your new password, you will automatically be logged in to your MRR dashboard page. Detailed Help pages, FAQs, and a PowerPoint slideshow of the website are available for further guidance. Your dashboard page provides links for the following tasks:

- MY PROFILE: Click on this link at the top right corner of your homepage to review and update your contact information. You may also edit or delete other contacts listed for your Mission, add new contacts, or designate an alternate primary contact for your Mission by clicking on the "Mission Contacts" link.

- OBLIGATIONS AND ALLOCATIONS: Access your obligations by clicking on the Obligations tab or by clicking inside box #1 on your homepage where you can either view all obligations that were entered in previous years or create new obligations. Note, if you entered FY 09 planned obligations during the FY 08 reporting cycle, you should edit these obligations as necessary. You may also create new entries for any planned obligations (or projections) for FY 2010.

  In order to complete your obligation records, you will need to allocate all obligated funds to new or existing implementing mechanisms, to a pending agreement or designate them as core microenterprise support funds. Key pieces of information associated with an allocation include: the *allocation amount*, *program element*, *technical area*, *program location*, and *implementing mechanism.* A single obligation may have multiple allocations based on the key information above.

- IMPLEMENTING MECHANISMS: These are the vehicles through which USAID funding is allocated. Click on the Implementing Mechanisms tab or inside box #2 on your homepage to add or edit your implementing mechanisms. Key pieces of information associated with an implementing mechanism include: the mechanism number; the mechanism (or project) name, the name of the implementing partner, the mechanism type (i.e., contract or cooperative agreement), start/end dates and questions regarding matching funds, victims of trafficking and umbrella programs.

- PARTNERS: These are the recipients of your microenterprise allocations and are identified with your implementing mechanism information. Access your partner information by clicking on the Partners tab or inside box #3 on your homepage to add/edit your partner records. Be sure to include updated contact information for each of your partners, as we will need to follow up with them during the partner data collection cycle to complete one or more surveys depending on the type of activity that was implemented during the current reporting period.

GUIDANCE FOR ACCURATE REPORTING:

As we continue to implement data collection through a new system this year, we would like to stress the importance of collecting accurate and verifiable data for the annual report to Congress. Please refer to the Data Quality Assessment Checklist and ADS Chapter 203.3.5 for guidance on requirements for conducting accurate data quality assessments and verification. This guidance will also assist COTRs of microfinance and microenterprise development programs in monitoring activities and assessing the performance of their partners.

Please review all information input into the MRR for accuracy and responsiveness. Once you have completed reporting your data for FY 2009, you will receive a data verification email to ensure that your entries are accurate and complete.

If you need additional support or for general helpdesk questions, please contact mrr@mrreporting.org or 202-521-1991.

Thank you in advance for your timely response to meeting your MRR requirements for FY 2009. Your assistance is much appreciated to capture accurate data for the current reporting year. Please report your data by December 11, 2009.

Best regards,

The MRR Team

3. FY2009 Mission Reminder Email

Greetings from MRR!

This is a friendly reminder of the upcoming deadline to report to MRR for FY09 by Friday,

December 11th. If you have not already logged into the MRR website, please be sure to do so as soon as possible and enter/update your FY09 obligations, any planned FY10 obligations, and contact information for your implementing partners.

Your username is provided at the end of this notification and you can log in to MRR at https://mrr.mrreporting.org/Logon.aspx. If you do not remember your password or if this is the first time you are reporting to MRR, please follow the "Recover my username and password" link to recover or set up your password. If you require additional assistance in completing this task, please contact the MRR Helpdesk at your earliest convenience at mrr@mrreporting.org or 202-521-1991.

Once you have completed your data entry, please be sure to set the data entry status of your allocation and obligation records to "completed," (with the exception of future year projections) and notify the MRR Helpdesk. We will then review your data and send you a data verification report for your final confirmation.

If you do not have any microenterprise funding to report for FY09, please notify the MRR Helpdesk as soon as possible so that we may update our records.

Thank you for your continued support and assistance in completing this task and we look forward to receiving your FY09 submission soon.

Best regards,

The MRR Team

4. Email to Mission with "In Progress" Status

Our records indicate that you have recently logged into the MRR database or have contacted our help desk to start updating your FY 2009 obligation records and/or FY 2010 projections. As the reporting deadline was December 11, 2009 and we have not received any further communication from you to date regarding your data entry status, we wanted to confirm with you whether you have completed all of your data entry for FY 2009 at this time. If you are still in the process of updating your records, please complete this task as soon as possible and notify the MRR Helpdesk at mrr@mrreporting.org once you have completed all of your data entry to the best of your ability. We will then review your records and send you a data verification report for your review and confirmation to finalize your reporting requirements for the FY 2009 reporting period.

Please contact the MRR Helpdesk if you have any other questions or if you are experiencing any technical difficulties. Thank you in advance for your timely assistance with this request and we look forward to hearing from you very soon.

Best regards,

The MRR Team

5. Email to Mission with "No Response" Status

Our records indicate that you have not logged into the MRR database to report your FY09 obligations and allocations and any planned obligations for FY10. As the reporting deadline was December 11, 2009 and we have not received any communication from you to date, we need your assistance to confirm whether you are still a primary contact for MRR and if so, to please update your records as soon as possible. We have copied all MRR contacts at your Mission to further assist us with this process. If you are no longer responsible for completing this task for your Mission/Operating Unit, please email the MRR Helpdesk at mrr@mrreporting.org at your earliest convenience to designate an alternate contact so that we may follow up with this new contact as soon as possible. You may also contact the Helpdesk to further assist you with completing your reporting requirements and/or troubleshoot any technical difficulties that you may be experiencing.

Once you have completed all of your data entry to the best of your ability, please notify the Helpdesk so that we may review your records and follow up with you if necessary for any clarification or incomplete information in order to finalize your reporting requirements for the FY 2009 reporting period.

We thank you in advance for your timely assistance with this request and we look forward to hearing from you very soon.

Best regards,

The MRR Team

6. FY2009 MFI Institution Instructions Email

Dear USAID Partner,

Your organization has been identified as a recipient of USAID microenterprise funding in FY 2009 and/or ongoing funding from previous fiscal years. At this time, the Microenterprise Results Reporting (MRR) team requests that you report on the results of your Financial Services/Microfinance activities implemented during the FY09 reporting period. MRR is the official system of USAID for the collection of microenterprise budget data and program implementation results.

We are using a new online data collection tool this year. Please visit https://mrr.mrreporting.org/Logon.aspx and enter your username, which you will find at the end of this email. Then follow the RECOVER OR SET UP MY USERNAME AND PASSWORD link at https://mrr.mrreporting.org/PasswordRecovery.aspx to create your password.

Please find below some additional instructions to assist you with this process.

1. If you need guidance at any point, please consult the Help pages and FAQs page that are part of the online data collection tool.

2. Please review your profile to make sure the information about your organization is accurate and up-to-date. If you need to make corrections or if you have additional contact information for your organization, please make the necessary updates.

3. Please review the USAID obligations information. Your questionnaires were assigned to you based on this information and your survey responses relate directly to these USAID funds. This information has been verified by the relevant USAID Mission/Operating Unit, but if you find any discrepancies, please notify the MRR Helpdesk at mrr@mrreporting.org.

4. Note that if you are a microfinance apex institution, you will be required to list your sub-recipients at the end of the brief questionnaire. You will then be required to complete additional questionnaires on behalf of your sub-recipients. These questionnaires will appear on your dashboard home page after you have completed your original questionnaire.

If you have questions or if you need technical assistance, please contact the MRR Helpdesk at mrr@mrreporting.org.

We look forward to receiving your data no later than Friday, April 30, 2010.

Thank you in advance for your participation in this data collection process.

The MRR Team

+1-202-521-1960

mrr@mrreporting.org

7. FY2009 ED Institution Instructions Email

Dear USAID Partner,

Your organization has been identified as a recipient of USAID microenterprise funding in FY 2009 and/or ongoing funding from previous fiscal years. At this time, the Microenterprise Results Reporting (MRR) team requests that you report on the results of your Enterprise Development activities implemented during the FY09 reporting period. MRR is the official system of USAID for the collection of microenterprise budget data and program implementation results.

We are using a new online data collection tool this year. Please visit https://mrr.mrreporting.org/Logon.aspx and enter your username, which you will find at the end of this email. Then follow the RECOVER OR SET UP MY USERNAME AND PASSWORD link at https://mrr.mrreporting.org/PasswordRecovery.aspx to create your password.

Please find below some additional instructions to assist you with this process.

1. If you need guidance at any point, please consult the Help pages and FAQs page that are part of the online data collection tool.

2. Please review your profile to make sure the information about your organization is accurate and up-to-date. If you need to make corrections or if you have additional contact information for your organization, please make the necessary updates.

3. Please review the USAID obligations information. Your questionnaires were assigned to you based on this information and your survey responses relate directly to these USAID funds. This information has been verified by the relevant USAID Mission/Operating Unit, but if you find any discrepancies, please notify the MRR Helpdesk at mrr@mrreporting.org.

4. If your activity provided funding or other types of support to sub-recipients, please make sure to also include information about these subs.

If you have questions or if you need technical assistance, please contact the MRR Helpdesk at mrr@mrreporting.org.

We look forward to receiving your data no later than Friday, April 30, 2010.

Thank you in advance for your participation in this data collection process.

The MRR Team

+1-202-521-1960

mrr@mrreporting.org

8. FY2009 MFI Institution Reminder Email

Dear [Name]:

Reminder: USAID MRR MFI data due Friday, April 30

This is a friendly reminder of the Friday, April 30, 2010 deadline to submit your questionnaire(s) to Microenterprise Results Reporting (MRR). If you have not already logged in to the MRR website at https://mrr.mrreporting.org to complete your reporting requirements for FY09, we ask that you please do so as soon as possible. As a reminder, the questionnaire(s) assigned to you pertain to USAID funding for microenterprise development activities your organization received in FY09 or in a prior fiscal year that continued to be active in FY09.

Please disregard this email if you have already completed your reporting requirements or if you are already in communication with the MRR team regarding the status of your submission.

To log in, enter the username at the end of this email. If you do not yet have a password, please follow the RECOVER OR SET UP MY USERNAME AND PASSWORD link to create your password. Once you log in, please review your profile and USAID obligation information, then open the survey(s) and complete the questions to the best of your ability. If you are unable to complete the entire survey in one session, your entries will be saved from the last page you entered data and clicked NEXT. Once you have completed your survey in its entirety, you must click on SAVE AND RETURN to finalize your submission.

If you are completing a FINANCIAL SERVICES/MICROFINACE questionnaire and have provided information regarding your sub-recipients, you will also be responsible for collecting and entering data for their activities. For each sub-recipient, you will see an additional questionnaire assignment appear on your main dashboard page.

If you have any questions, or if you need further assistance in completing your questionnaire(s), please contact the MRR Helpdesk at mrr@mrreporting.org. Thank you in advance for your timely assistance in reporting to MRR for FY09. We look forward to receiving your submission soon.

Best regards,

The MRR Team

+202-521-1960

[footer with username]

9. FY2009 Institution Post-Deadline Email

Dear USAID Implementing Partner,

The April 30 deadline for submitting your FY09 Microenterprise Results Reporting (MRR) data has passed. You are receiving this email because your MRR questionnaire is not yet fully completed. It is urgent that we receive your data as soon as possible.

To complete your questionnaire, please visit the MRR website at https://mrr.mrreporting.org. Enter your username, which you will find at the end of this email, and then click on the “Recover or set up my username and password” link to create your password, if you have not already done so.

[*For MFI email only:* If you have sub-recipients, please remember to also complete the questionnaires assigned on their behalf. Once you have entered your sub-recipient’s name on your own questionnaire, the new sub-recipient questionnaire will appear on your home dashboard page for you to complete.]

If you have any questions or if you believe you have received this message in error, please contact the MRR Helpdesk at mrr@mrreporting.org and we will assist you. You may also contact the MRR Helpdesk to indicate a contact other than yourself who will be reporting your project’s data.

We look forward to receiving your data.

Best regards,

The MRR Team

202-521-1960

MRR MFI Questionnaire (FY2010)

Institution Name	
Please select your type of institution	__ Apex/Wholesaler (my institution provides funds, commodities, guarantees, or technical assistance to other institutions using the funds provided by USAID) __ Retail (my institution delivers financial services directly to microenterprises) __ Both

APEX institutions receive funding from USAID and disperse part or all of that funding to another institution). An apex will not be asked to complete the entire MFI questionnaire. Instead, apex institutions should complete questions 1-4 only and then list their sub-recipients using the form at the end of this questionnaire. After completing the sub-recipient information, the apex will need to complete an additional questionnaire on behalf of each sub-recipient. You can use an additional blank version of this questionnaire to do this. Please make sure to indicate the name of the institution at the top of the form.

If you are a retailer (an institution that receives funding from USAID directly or from an apex, or wholesaler, and delivers products or services directly to clients), please complete all of the MFI survey questions below.

If you are both an APEX and a retailer, please complete all of the MFI survey questions below. You will also be asked to complete the "Sub-Allocations and Sub-recipients" form and additional questionnaires on behalf of your sub-recipients.

Please note: MRR allows you to report financial information in local currency, instead of US dollars. If you prefer to report your financial information in US dollars, please be sure to indicate that preference in Question 8 below.

1. Provide a brief description of your USAID-funded activity. Where applicable, please describe how this project directly or indirectly benefits microenterprises or microfinance institutions.	
2. Do you use USAID funding to build the institutional and human capacity of microfinance institutions?	__ Yes __ No (*skip to question 4*) __ No data available (*skip to question 4*)
3. Approximately what percentage of USAID funding was used for institutional and human capacity building of microfinance institutions?	______% __ No data available
4. If you have no data to report, use the text box to the right to explain why and enter a description of the activity for which you received funding. If you do have program data to report, proceed to the questions below.	__ Project closed before September 30, 2009 __ New activity – no data to report yet __ Project not working with microenterprises or microfinance institutions __ Project not working with

	microenterprises or microfinance institutions, but does provide some indirect benefits __Other (*specify*:_______________)
5. What types of lending methodologies do you employ? Select all that apply.	__ Individual loans __ Mortgage-backed lending __ Salary-backed lending/Consumer lending __ Solidarity group loans __ Village banking __ Other (*Specify*: ___________)
6. Which of the above represents the largest portion of your portfolio? Select one.	__ Individual loans __ Mortgage-backed lending __ Salary-backed lending/Consumer lending __ Solidarity group loans __ Village banking __ Other
7. Final day of your fiscal year (Month/Day/Year) : *Definition*: End of the 12 month	MM/DD/YYYY

period in which your institution reports its annual financial information. May or may not be the same as the calendar year.	
8. What currency does your organization use in its financial records? (If you prefer to report your financial information in U.S. dollars, please write "U.S. dollar" here and skip to question 11.)	____________________
9. If you are reporting financial data in a currency other than U.S. dollars, what was the exchange rate to the U.S. dollar on the last day of your fiscal year?	___________________ per US$ 1
10. What is your source of information for this exchange rate? (For example, Central Bank data, internet site, rates available in local markets)	____________________
11. Total value of loans outstanding (principal) of all microenterprise lending programs at year end. (Report using the currency you selected in question 8 above.)	____________________

12. Number of individual loans outstanding at year end, including loans to individual clients of village banks: *Note*: The number of loans reported here should correspond to the total value of loans outstanding in the previous question.	________number of loans
13. Percentage of loans reported in Question 12 made to women borrowers: (Number of loans made to women divided by total number of loans at end of institution fiscal year, expressed as a percentage.)	________% ___ No data available
14. Total value of savings deposits held at year end. (Report using the currency you selected in question 8 above.)	__________________ ___ No data available
15. Number of active savers at year end:	_____________number of savers ___ No data available
16. Percentage of active savers who are women:	________% ___ No data available
17. Does your program require borrowers to maintain a savings account as a condition for	__ Yes

receiving a loan (mandatory savings)?	__ No
18. Of the total value of savings deposits reported in Question 14, what percentage is voluntary savings? (Voluntary savings equal savings in excess of mandatory savings, that is those required to gain access to loans.)	________%
19. Maximum microenterprise loan size. (Report using the currency you selected in question 8 above.)	____________________
20. Minimum microenterprise loan size. (Report using the currency you selected in question 8 above.)	____________________
21. Estimate the percent of your clients who live in rural areas: (Estimate using the number of clients at year-end.)	________% ___ No data available
22. Estimate the percent of your clients who are youth (15-24 years old): (Estimate using the number of clients at year-end.)	________% ___ No data available
23. Portfolio at risk: *Definition*: Outstanding balance (unpaid principal) of loans with payments overdue more than 30 days divided by the amount of loans outstanding at end of fiscal year, expressed as a percentage.	________% ___ No data available
24. Loan loss rate: Amount of loans written off during the past year as a percentage of the average amount of loans outstanding over the past fiscal year.	________% ___ No data available
25. Operational Sustainability Percent: Operational Sustainability = Financial Revenue / (Financial Expense + Impairment Loss + Operating Expense)	________% ___ No data available
26. Financial Sustainability Percent: Financial Sustainability = Adjusted Financial Revenue / Adjusted (Financial Expense + Impairment Losses on Loans + Operating Expense). Adjustments account for	________% ___ No data available

inflation, subsidies and loan loss provisioning and write-off.	
27. Describe how you calculated operational sustainability:	
28. If the value reported for financial sustainability is less than 100%, what is your plan for achieving full financial sustainability? Explain in a brief paragraph.	

FY 2010 Poverty Lending Data

Poverty Lending Defined:

Poverty loans are defined as loans with initial loan sizes equivalent to:

- US$429 equivalent or less in Africa, Asia, and the Near East;
- US$572 equivalent of less in Latin America and the Caribbean; or
- US$1,430 equivalent or less in Europe or Eurasia.

(These are the amounts set by the U.S. Congress to provide proxy indicators for the poverty status of microenterprise clients, adjusted for U.S. inflation since 1995. This measure is used to determine what percentage of USAID funds has reached the "very poor.")

Please use the exchange rate you suggested in Question 9 above to determine the local-currency equivalents of these limits.

*Please note that the amount of poverty lending reported below cannot be greater than the total loan portfolio.

29. Total value of poverty loans outstanding at year end. (Report using the currency you selected in question 8 above.)	______________ ___ No data available
30. Total number of poverty loans outstanding at year end:	______________number of loans ___ No data available
31. Do you currently employ other methods for tracking the poverty level of your clients?	__ Yes __ No
32. If yes, please describe:	

If you would like to elaborate further on any of your answers above, or provide feedback to the MRR Help Desk, please use the space provided below:

Comment:

Sub-Allocations and Sub-Recipients

If you indicated at the beginning of the questionnaire that your institution is either an apex, or both an apex and retail institution, please list your sub-recipients in the spaces provided. Please include amounts and descriptions of each sub-allocation (leave blank if not applicable). Note the following MRR definitions of the four possible types of assistance provided to sub-recipients:

Commodities

Estimate the cost of goods provided to sub-recipients. Examples include goods received, such as vehicles, information system hardware and software, office equipment, travel support, and others. Indicate the cost of these commodities provided to recipients. Provide a description of this support.

Guarantees

This represents the cost or estimated cost of providing a guarantee for performance by a USAID supported institution. Do not report the total amount covered by the guarantee, only the cost to USAID and/or the USAID implementing partner for providing this guarantee. Provide a description of this support.

Direct Funding

Institutions receiving funding from USAID may grant or deliver all or part of these funds to other institutions. Estimate the amount of USAID funds that were provided directly to sub-recipients through sub-grants or some other funding mechanism. Provide a description of this support.

Technical Assistance

Technical assistance includes but is not limited to management assistance, product development, audit, training for that specific institution, and many other activities. The assistance may be provided directly by your institution or by others. Report the cost or estimated cost of technical assistance provided to your sub-recipient and provide a description of this support.

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Commodities Amount (USD):

Description:

Guarantees Amount ($USD):

Description:

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Commodities Amount ($USD):

Description:

Guarantees Amount ($USD):

Description:

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

MRR Enterprise Development Questionnaire (FY 2010)

1. Provide a brief description of your USAID-funded activity. Where applicable, please describe how this project directly or indirectly benefits microenterprises or microfinance institutions.	
2. Provide a brief description of your institution and its role in the project/activity.	
3. If you do not have data to report, please indicate the reason.	__ Project closed before September 30, 2009 __ New activity – no data to report yet __ Project not working with microenterprises or microfinance institutions __ Project not working directly with microenterprise or microfinance institutions, but does provide some indirect benefits __Other (*Specify*: _______________)
4. MRR would prefer that the data you report here include data from sub-recipients. Does your activity provide funding or technical assistance to sub-recipients? *Definition*: A sub-recipient is an institution or organization that receives support through sub-agreements with USAID's prime partner. These sub-agreements are normally included in the agreement between USAID and its prime partner, who directly receives funding obligations from USAID. The prime partner is responsible for providing the estimated value of the support provided to sub-recipients, normally in the form of a sub-contract or sub-grant. The work of sub-recipients under a sub-agreement will relate directly to the achievement of the microenterprise development aspect of the overall program objectives and will often directly reach clients/beneficiaries. However, sub-recipients themselves are NOT client/beneficiaries of the project, vendors or individual consultants.	__ Yes (**Note**: Please complete the "Sub-allocations and Sub-recipients" form at the end of this questionnaire by listing all of your sub-recipients.) __ No (*skip to question 6*)
5. Do the data you are reporting today include the data from all your sub-recipients? If not,	__ Yes __ No

please explain in the space provided.	Comment:
6. How many microenterprises did your activity work with in 2010? *Definition*: USAID's definition of a microenterprise is "a very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees."	______number of microenterprises ___ No data available
7. What is the estimated total number of employees, including owners and unpaid family workers, that work for the microenterprises participating in your activity?	___________number of employees
8. What percentage of those microenterprises were owned and operated by women?	________% ___ No data available

9. What percentage of those microenterprises were owned and operated by youth (15-24 years old)?	________% ___ No data available	
10. What percentage of those microenterprises were located in rural areas?	________% ___ No data available	
11. What are the main types of assistance your activity provides or facilitates? Select all that apply.	__ Value chain or sector development (including producer group development) __ Business Development Services (BDS) (including ICT, Training, Technical Assistance) __ Enterprise Finance __ Business Environment __ Competitiveness and/or Market Analysis __ Monitoring and Evaluation	
12. What percentage of the microenterprises participating in your activity operate in each of these sectors? Fill in all that apply.	____% Agriculture/Agribusiness ____% Manufacturing ____% Commerce and Trade ____% Service	
13. Using data you have for the microenterprises assisted,	__ Gross Revenue/	Data Source for

please provide the estimated value for one or both of the following along with the data source.	Total Sales ($US) __ Not collected __ Net Income ($US) __ Not collected	Revenue/Sales: ____________ Data Source for Net Income: ____________
14. What percentage of the microenterprises participating in your activity currently sell directly or indirectly to export markets? *Definition:* Indirect exports are inputs to or components of directly exported products. They may be sold to domestic firms, but are ultimately sold abroad.	___% exporting ___no export linkages	
15. Does your activity help microenterprises obtain loans from financial institutions (for example MFIs, commercial banks, or credit unions)?	__ Yes __ No	
16. Does your activity help microenterprises gain access to finance from other firms in the	__ Yes __ No	

value chain or sector, such as input suppliers, processors, or wholesalers?	
17. If the answer to either question 15 or 16 is "yes," what is the approximate value of financial services to which your activity facilitated access in 2010 ($US)?	Financial institutions ($US)_______ Value chain finance ($US)________
18. What percentage of your activity's operating costs are covered by income and fees received from clients?	________%
19. Estimate the percent of your microenterprise clients with loans from any source in the following amounts, relevant to your geographic region of operation: ☐ US$429 equivalent or less in Africa, Asia, and the Near East; ☐ US$572 equivalent of less in Latin America and the Caribbean; or ☐ US$1,430 equivalent or less in Europe or Eurasia. (These are the amounts set by the U.S. Congress to provide proxy indicators for the poverty status of microenterprise	________% ___ No data available

clients, adjusted for U.S. inflation since 1995. This measure is used to determine what percentage of USAID funds has reached the 'very poor'.)	

If you would like to elaborate further on any of your answers above, or provide feedback to the MRR Help Desk, please use the space provided below:

Comment:

Sub-Allocations and Sub-Recipients

If you indicated on question 4 that you provided support to sub-recipients through a sub-allocation of resources, please use this form to provide your sub-allocations for this reporting year and describe the type of support provided to your sub-recipient(s).

You should only list sub-recipients related to the microenterprise or microfinance component of the project(s) on which you reported in this questionnaire.

Please list your sub-recipients in spaces below, including amounts and descriptions of each sub-allocation (leave blank if not applicable). Note the following MRR definitions of the two possible types of assistance provided to sub-recipients:

Direct Funding

Institutions receiving funding from USAID may grant or deliver all or part of these funds to other institutions. Estimate the amount of USAID funds that were provided directly to sub-recipients through sub-grants or some other funding mechanism. Provide a description of this support.

Technical Assistance

Technical assistance includes but is not limited to management assistance, product development, audit, training for that specific institution, and many other activities. The assistance may be provided directly by your institution or by others. Report the cost or estimated cost of technical assistance provided to your sub-recipient and provide a description of this support.

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

MRR Policy Questionnaire (FY2010)

1. Provide a brief description of your USAID-funded activity. Where applicable, please describe how this project directly or indirectly benefits microenterprises or microfinance institutions.	
2. If you do not have data to report, please indicate the reason.	__ Project closed before September 30, 2009 __ New activity – no data to report yet __ Project not working with microenterprises or microfinance institutions __ Project not working directly with microenterprise or microfinance institutions, but does provide some indirect benefits __Other (Specify: ________________)

3. Please select the types of organization(s) you are working with. Select all that apply.	__ government __ association __ NGO __ financial institution __ other (*specify*: _________________)
4. In calendar year 2010, how many improvements in laws and regulations affecting the access of poor households to financial services have been drafted with assistance of your project/activity? *Definition*: Includes improved regulation of microfinance institutions, removal of interest rate caps, and other relevant laws and regulations.	________ number of improvements ___ No data available
5. In calendar year 2010, how many improvements in laws and regulations affecting the access of poor households to financial services have been enacted with assistance of your project/activity? *Definition*: Report only after the change has actually been adopted.	________ number of improvements ___ No data available

Includes improved regulation of microfinance institutions, removal of interest rate caps, and other relevant laws and regulations.	
6. In calendar year 2010, how many improvements in laws and regulations affecting the registration of microenterprises have been drafted with assistance of your project/activity? *Definition*: Includes reduction in the number of steps required to become registered, the number and cost of documents needed, reductions in minimum capital requirements, improvement in the speed of processing, and other improvements as applicable to the country where your activity operates.	________ number of improvements ___ No data available
7. In calendar year 2010, how many improvements in laws and regulations affecting the registration of microenterprises have been enacted with assistance of your project/activity? *Definition*: Report only after the change has actually been adopted. Includes reduction in the number of steps required to become registered, the number and cost of	________number of improvements ___ No data available

documents needed, reductions in minimum capital requirements, improvement in the speed of processing, and other improvements as applicable to the country where your activity operates.	
8. In calendar year 2010, how many improvements in laws and regulations affecting the operations of microenterprises have been drafted with assistance of your project/activity? *Definition*: Includes relaxation of zoning restrictions, other restrictions on microenterprise operations as appropriate to the country where your activity operates. Exclude changes affecting registration, as they will have been captured above.	________number of improvements ___ No data available
9. In calendar year 2010, how many improvements in laws and regulations affecting the operations of microenterprises have been enacted with assistance of your project/activity? *Definition*: Report only after the change has actually been adopted. Includes relaxation of zoning restrictions, other restrictions on microenterprise operations as	________number of improvements ___ No data available

appropriate to the country where your activity operates. Exclude changes affecting registration, as they will have been captured above.	
10. Please list all policy issues your program is working on	

11. MRR would prefer that the data you report here include data from sub-recipients. Does your activity provide funding or technical assistance to sub-recipients? *Definition*: A sub-recipient is an institution or organization that receives support through sub-agreements with USAID's prime partner. These sub-agreements are normally included in the agreement between USAID and its prime partner, who directly receives funding obligations from USAID. The prime partner is responsible for providing the estimated value of the support provided to sub-recipients, normally in the form of a sub-contract or sub-grant. The work of sub-recipients under a sub-agreement will relate directly to the achievement of the microenterprise development aspect of the overall program objectives and will often directly reach clients/beneficiaries. However, sub-recipients themselves are NOT client/beneficiaries of the project, vendors or individual consultants.	Yes __ (**Note**: Please complete the "Sub-allocations and Sub-recipients" form at the end of this questionnaire by listing all of your sub-recipients.) No __ (*skip question 12*)
12. Does the data you are reporting today include the data from all your sub-recipients or	Yes __ No __

subcontractors? If not, please comment in the space provided.	Comment:

If you would like to elaborate further on any of your answers above, or provide feedback to the MRR Help Desk, please use the space provided below:

Comment:

Sub-Allocations and Sub-Recipients

If you indicated on question 11 that you provided support to sub-recipients through a sub-allocation of resources, please use this form to provide your sub-allocations for this reporting year and describe the type of support provided to your sub-recipient(s).

You should only list sub-recipients related to the microenterprise or microfinance component of the project(s) on which you reported in this questionnaire.

Please list your sub-recipients in spaces below, including amounts and descriptions of each sub-allocation (leave blank if not applicable). Note the following MRR definitions of the two possible types of assistance provided to sub-recipients:

Direct Funding

Institutions receiving funding from USAID may grant or deliver all or part of these funds to other institutions. Estimate the amount of USAID funds that were provided directly to sub-recipients through sub-grants or some other funding mechanism. Provide a description of this support.

Technical Assistance

Technical assistance includes but is not limited to management assistance, product development, audit, training for that specific institution, and many other activities. The assistance may be provided directly by your institution or by others. Report the cost or estimated cost of technical assistance provided to your sub-recipient and provide a description of this support.

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

Sub-Recipient Name:

Sub-Recipient Country of Operation:

List the benefits that this institution is receiving (leave blank if not applicable):

Direct Funding Amount ($USD):

Description:

Technical Assistance Amount ($USD):

Description:

MRR PAT Questionnaire (FY2010)

The Poverty Assessment Tool (PAT) questionnaire was added to the end of the Enterprise Development (ED) and the Microfinance (MFI) questionnaires for each institution identified by the IRIS Center as having been contacted and/or trained on the implementation of the PAT in a country for which a tool was developed. The data from this survey was intended to inform the IRIS Center on the practical experiences and methodological issues of implementing the PAT in the field.

1. Did your institution implement the USAID Poverty Assessment Tool for FY 2010?	___Yes ___No (*Please provide a brief explanation here and then skip the remaining questions below*.) Comment: ____________________
2. Based on the results of your implementation of the USAID Poverty Assessment Tool, what percentage of your beneficiaries are very poor?	_______________ % very poor ___ No data available
3. In what setting were most of the interviews conducted? (*select only one*)	a. ___ respondent's home b. ___ respondent's business c. ___ program offices d. ___ group meeting site

	e. ___ other
4. Which sampling option did you use in selecting clients/beneficiaries to interview?	a. _____interviewed ALL clients (not a sample of them) [***if a, please skip to Question 6***] b. _____interviewed a sample selected from all current clients c. _____interviewed a sample selected from new clients only (*please provide definition of "new"*: _____________)
5. How many client/beneficiary names did you select during the sampling process? (NOT necessarily the number of interviews conducted)	___ # selected
6. How many surveys were	_____# successfully completed

successfully completed (all questions answered and also entered into database)?	(entered in database)
7. How many were incomplete?	_____# incomplete (# of interviews NOT entered into the database)
8. Some sampling designs include multiple stages—for example, selecting regions first, then branches, and then households. Other surveys sample households directly, in one stage, from a complete list of clients. How many stages did your sampling process include?	___ a. One ___ b. Two ___ c. Three ___ d. Four or more
9. A survey design that selects households randomly from one, complete list is called simple random sampling. Another common sampling design first groups households by geographic clusters before selecting households from only some of the clusters. Another design stratifies households along certain characteristics (for example, type of product) before selecting households from each of these strata. Which sampling design did you use to select client households?	___ a. simple random sampling ___ b. cluster sampling ___ c. stratified sampling ___ d. other; Please explain: ________
10. Was the PAT applied by itself or was it combined with other tools or survey questions? (select only one)	a. _____ PAT by itself b. _____ combined with existing monitoring tool c. _____ combined with existing client intake process d. _____ combined with other questions related to the client
Please send the following to pathelp@iris.econ.umd.edu:	a. results of your poverty assessment (% of very poor) b. a copy of completed Epi Info database (**in zipped/ compressed format such as WinZip. Please do not send the database without first using file compression software!**) c. electronic copy of survey actually used during interviewing (if survey was implemented in more than one language, please send a copy

	of each version used)

If you would like to elaborate further on any of your answers above, or provide feedback to the MRR Help Desk, please use the space provided below:

Comment:

ANNEX C: MISSION DATA VERIFICATION CHECKLIST (FY 2009)

General

1. Check to see if the data entry status has been updated to **Completed** for all FY 2009 Obligation, associated Implementing Mechanism, and partner records. If the Mission/Operating Unit already confirmed that they have completed their data entries for the current reporting fiscal year but did not change their status to Completed, go ahead and set the status for them before the report is generated and just point this out in the data verification email for future reference. If no such confirmation has been received, point this out in the data verification email and either request that they complete this final step of their reporting requirements for the current reporting fiscal year or offer to complete this step for them upon final confirmation.

2. If the Mission/Operating Unit still has **In Progress** records from previous fiscal years, check for missing information such as pending agreements or unallocated funds. This information will need to be updated. Currently we are only going back to FY07.

3. Cross-check current reporting fiscal year total obligations for each mission with projected amounts from last year (see spreadsheet provided by COTR) for approximate consistency in funding levels. Totals don't have to match, but flag any major discrepancies. As a general rule, let's flag anything meeting either of these two criteria: (1) the difference between them is $500k or more, or (2) the difference between them is multiplied by a factor of 10 or more. That second check is to help mitigate instances where there could be an extra or missing digit. For example, if the COTR's sheet says $400,000, but our database only shows $400 or maybe $40,000, that should be flagged. *(Note that this step was not used in FY 2009 because the COTR did not provide the necessary spreadsheet.)*

Obligations and Allocations

1. Review obligation records for "duplicate" obligations and collapse if necessary (see General Guidance for Cleaning Duplicate Obligations saved at C410 - MRR\Activities\Mission data collection & review\FY 2008\Mission Data Cleanup).

2. Review obligation notes (if any) to ensure that the total obligation amount comes from one funding account and one origin. If not, this amount will have to be split accordingly. Sometimes missions will list the funding breakdown and/or the implementing partners that received this funding in the notes, rather than allocating the appropriate funding to implementing mechanisms. Unless the record is for a future fiscal year, all funding should be allocated to a valid mechanism.

3. Be sure that the entire obligation amount has been allocated to either a valid *Implementing Mechanism*, a *Pending Agreement*, or as *Microenterprise Support*. We should flag any Microenterprise Support allocations that seem unusually high (anything over $100,000), unless that figure seems consistent with last year's figure.

4. Review Allocation records for completeness and accuracy. Make sure that the data entry status has been set to **Completed**. For both Allocation and Obligations, it is important to review the actual amount and take note if it looks unusually high or low, like something in the hundreds, or something above $20 million or $30 million. These figures may be valid, but they could also be missing a digit, or have extra digits.

5. Review the Program Element selected from the drop-down menu. Funds allocated to the same **Mechanism, Program Element**, and **Technical Area**, need to be collapsed into one record. The system will not allow duplicate Allocation details to be entered.

6. Review the response to whether the obligation is pro-rated. If there is an obligation note or program description that suggests that the obligation should have been pro-rated but it wasn't, the response needs to be verified.

7. Check to see if the mission included any PL-480/Title II or Local Currency (LC) funding as part of their portfolio. The Office of Food for Peace used to provide this obligation data, but effective FY 2007, missions were asked to provide this information directly. In FY 09 MRR generated a list of institutions working in countries that received such funding for the previous fiscal year. MRR then contacted these missions to verify whether any of this funding can be attributed towards microenterprise development. (See PL480 emails sent in FY07 in the MRR inbox for guidance).

8. Review future year projection records (if any). Funds under future year obligations do not need to be allocated to the applicable implementing mechanism. The status must remain **In Progress** because the system will not allow the user to complete an obligation for future fiscal years and it is understood that these records will be re-visited during next year's data collection cycle.

Implementing Mechanisms

1. Review each Implementing Mechanism record by clicking on the hyperlink in the main obligations grid for the relevant Mission/Operating Unit. *Microenterprise Support* and *Pending Agreement* are not hyperlinked.

2. Be sure that all required fields have been completed and is consistent with the information required by each data field. For example, the Implementing Mechanism Number data field should only capture the Number of the Agreement, Contract etc. and not the Name of the Implementing Partner or mechanism type. The format varies but generally this number is displayed as xx-xxx-xx-xxx-xxxx. Sometimes the user will enter irrelevant data in this field so this needs to be cleaned. Sometimes Task Order No. X will be included in this field so this is acceptable.

3. Be sure the start and end dates specified make sense.

4. Review mechanisms used in the current reporting year and compare with other mechanism records for that mission listed on the Implementing Mechanism page. Due to data migration, duplicate mechanism records are listed multiple times with different allocations associated with them. In FY08 these records were reviewed carefully and verified with the mission to determine which mechanism is valid. Due to the numerous records that needed to be cleaned, MRR only went as far back as 2003 to clean these records. Although most duplicate records are cleaned, some Missions will inadvertently create a new mechanism in the current reporting year even though the mechanism is already in the database. MRR checks for this.

5. Review the mechanism tab on the report itself. There appears to be a technical glitch in some of the queries that have been generated to run these verification reports, so often the same mechanism will be listed multiple times even though all data fields are identical and the website only shows one mechanism record. This should now be fixed, but double check anyway and be sure to delete any "duplicate" mechanisms from the spreadsheet.

6. Review the responses to Matching Funds, anti-trafficking, and Umbrella component to make sure it's consistent with the report. We've had some issues where the verification report generated by MRR has some glitches where it's showing a "no" response by default even if the response on the website is "yes." This should now be fixed, but double check anyway.

7. Be sure the data entry status has been set to **Completed**. If the record is still in progress, but all of the required fields have been completed, go ahead and change the status to **Completed** and point this out in the data verification email.

Partners

1. Review the Partner information associated with each Implementing Mechanism record for completeness and accuracy. Make sure all required fields have been completed. Also review the Network information listed under the IM section of the obligation tab in the report. If the partner is "under network" the name of the network and the network country of operation should also be listed. If this is blank, then you need to investigate.

2. Review each contact record listed under the Partner record for completeness and accuracy. Note, the system will display these records multiple times for each contact listed on the View Partners page. We need to be mindful of "new" or incomplete partner records that are created. We want to be sure that the appropriate mechanism is linked to the appropriate partner.

3. Be sure the data entry status has been set to **Completed**. If the record is still in progress, but all of the required fields have been completed, go ahead and change the status to **Completed** and point this out in the data verification email. If there are still missing pieces of key information, such as contact information, verify this with the mission and then update the status to **Completed** once the missing information has been verified.

ANNEX D: MRR BACKGROUND AND LEGISLATION

Prior to Microenterprise Results Reporting (MRR), USAID funded the Microenterprise Monitoring System (MEMS), which began tracking USAID funding to the microenterprise sector in 1988. When the MEMS contract, managed by Management Systems International (MSI), ended and after USAID launched its **1994 Microenterprise Initiative**, plans began for a new system that would allow USAID to link Agency funding more explicitly to its implementing partners.

The Microenterprise Initiative was later **renewed in July 1997** with bipartisan Congressional support and the support of the Microenterprise Coalition. In the renewed Microenterprise Initiative, USAID pledged to the U.S. Congress that its programs would have the following characteristics:

- More than half of all microenterprise clients would be women
- More than half of all funds directed to microenterprise credit programs would be channeled to poverty lending
- At least two-thirds of the clients of microfinance institutions would receive poverty loans
- The average repayment rates for Microfinance Institutions (MFIs) receiving USAID support would be 95 percent or above
- Every MFI supported by USAID would have a plan for reaching full financial sustainability within a credible period of time

USAID also set a target of 15 percent annual growth in the number of clients receiving services.

In September 2000, the **Microenterprise for Self-Reliance Act (PL 106-309)** further defined Congress's commitment to and guidance of microenterprise development:

- More than half of all funds directed to microenterprise (not just microfinance) would go toward the very poor, defined as those living on less than $1/day Purchasing Power Parity (PPP)
- The poverty loan amounts for each region were set (based on 1995 dollars) at $1000 in Europe and Eurasia, $400 in Latin America, and $300 in all other parts of the world
- Funds for business development services clients would also count toward the poverty target
- Annual reports on microenterprise development would address the ways USAID has implemented these objectives

An **Amendment to this act (PL 108-31)**, enacted in June 2003, increased the targeted amount of USAID assistance to microenterprise development and expanded the definition of "very poor" to include those living in the bottom 50% of the population below the national poverty line. In December 2004, the **Microenterprise Results and Accountability Act of 2004 (PL 108-484)** added further provisions. Among them were requirements that USAID would:

- Continue to expand the availability of (1) financial services, (2) Business Development Services (BDS) and capacity building to microenterprise assistance institutions, and (3) policy, regulatory programs and research to improve the enabling environment for microenterprises
- Use implementing organizations and central funding mechanisms that meet Agency requirements for efficiency and cost-effectiveness

- Strengthen its microenterprise monitoring system, to include performance goals and indicators and implementation of Poverty Assessment Tools (PATs) certified by the Agency for the measurement of the poverty levels of current or prospective microenterprise clients
- **Submit a detailed report no later than June 30 each year** (beginning in 2006), including the following:

    1. The details of all grants, contracts, and agreements made by USAID, including amounts made through central mechanisms
    2. The process and results of applying the new poverty assessment measures
    3. Information on ways the agency is working to include and assist victims of trafficking and other forms of exploitation
    4. Estimates on the percentage of beneficiaries in countries where poverty correlates with race or ethnicity
    5. The amount of assistance made through sub grants to direct service providers and an analysis of the comparative cost-effectiveness and sustainability of projects carried out under these mechanisms

ANNEX E: GANTT CHART

MRR Tasks	Performance Period											
	FY 2012 (reporting on FY 2011)											
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep
Task A - Tracking of Estimated and Actual Obligations												
A.1 Update operations manual												
A.2 Update and maintain point-of-contact information for Missions and Operating Units												
A.3 Update and distribute instructions to Missions												
A.4 Provide help desk support to Missions												
A.5 Obtain and review estimated and actual obligation data												
A.6 Resolve data problems												
A.7 Promote Mission data collection in Connections and on												
A.8 Finalize obligation data entry												
Task B - Microfinance, Enterprise Development, and Enabling Environment Institution Tracking												
B.1 Assign appropriate questionnaire (ED, MFI, Policy) to												
B.2 Provide help desk support to implementing partners												
B.3 Follow-up with implementing partners to improve response rates												
B.4 Ensure data accuracy through data cleaning & identify priority indicators for review												
B.5 Finalize implementing partner data entry												
Task C - USAID Microenterprise Results Reporting Publications												
C.1 Collect supporting information and prepare draft report												
C.2 Develop, produce, and disseminate the annual report												
C.3 Prepare statistical annexes												
Task D - Microenterprise Results Reporting Web Site												
C.1 Maintain the MRR website and database												
C.2 Refine MRR services												
C.3 Develop new capabilities, as required												
C.4 Address inquiries for analysis												
C.5 Other tasks as assigned												
Poverty Tools and DCA												
Work with PAT team to develop appropriate procedures for PAT data collection												
Work with PAT team to develop language for Missions on PAT												
Adapt questionnaires to include any new PAT questions												
Determine which institutions will report on PAT and assign												
Share PAT results data with PAT team												
Contact DCA to obtain information on guarantees												
Project Management												
Submit annual work plan												
Conduct regular meetings with Activity Manager												
Manage project finances, including budget management and invoicing												
Manage subcontractors, vendors, and consultants												
Prepare quarterly accrual reports												
Develop quarterly progress reports												
Conduct regular database and system backups												

ANNEX F: MISSION CONTACT LIST

Mission	First Name	Last Name	Title	Primary Phone	Email
Afghanistan	Rahmatullah	Zahin	Project Management Specialist	0093 797 777 311	RZahin@usaid.gov
Albania	Alma	Kospiri	SME specialist	+355 +4 2247285 3479	akospiri@usaid.gov
Angola	Abdul	Sumra		TBD	AbSumra@usaid.gov
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